

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 2010-03-24 08:29:21

2. Agency: 006

3. Bureau: 51

4. Name of this Investment: USPTO Revenue Accounting and Management System (RAM)

5. Unique Project (Investment) Identifier: 006-51-01-01-01-8002-00

6. What kind of investment will this be in FY 2011?: Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

Since its initial release in 1997, the RAM System has grown to process nearly 20,000 transactions per-day, tracks approximately \$2 billion in annual revenue, and is used by approximately 700 campus users. RAM has over 70 interfaces as well as an external payment server which is the public interface to the RAM System that operates as a storefront to allow customers to directly order and pay for specific USPTO goods and services using the Internet. Substantial technical issues have been identified with the legacy RAM because of its reliance on aging software, tightly coupled interface architecture, non standards-based architecture, complex software code, limited high availability and failover capabilities, limited security features, and lack of Section 508 compliance. Remediation and stabilization efforts over the last several years have helped to keep Legacy RAM running but there are major technical impediments to making any significant enhancements to the system. Due to the inability to upgrade, the Office of Finance has a high reliance on manual operating procedures, limited support for workflow, and excessive maintenance costs. Legacy RAM is a custom application developed over many years using variety of technologies. Due to the patchwork of technologies, components, and layers of code enhancements, the software has a wide variety of points of failure and could require particular expertise to recover in the event of a severe failure. Modernized RAM will implement new automated functions for increased internal controls and efficiencies. Modernized RAM will also be more flexible, which will be extremely important with the New Administration and its focus on building a more robust financial business model. The RAM Modernization program encompasses modernizing all architectural layers and interfaces of Legacy RAM.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

- a. If "yes," what was the date of this approval? ***

10. Contact information of Program/Project Manager?

- Name: *
- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
DOC50PAPT0501005	CPFF w/award term incentives	Y	2004-12-17	2004-12-17	2012-12-31	\$281.0	*	*	*	*	*
DOC44PAPT0802054	T&M	Y	2009-06-17	2009-06-17	2014-06-16	\$15.0	*	*	*	*	*
DOC50PAPT0801026	T&M/ LH	Y	2008-09-01	2008-09-01	2013-08-31	\$94.0	*	*	*	*	*
DOC50PAPT0801027	T&M/ LH	Y	2008-09-01	2008-09-01	2013-08-31	\$94.0	*	*	*	*	*
DOC50PAPT0801028	T&M/ LH	Y	2008-09-01	2008-09-01	2013-08-31	\$94.0	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a.If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY09: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD
2005	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online.FY04: 49	The planned improvement will allow more fees to be collected online at the USPTO e-Government websites.	In FY06 there were 162 diff. fee types accepted online over the internet
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online. FY05: 62	Anticipated 10% increase in the number of fee types available online at the USPTO e-Government websites each year.	In FY07,there were 181 available fee types collected online over the internet
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY04: 490K	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	In FY06, there were 1,564,662 individual online payment transactions processed
2006	2.2 Protect intellectual property and improve the	*	*	Use of online payment options.	Current number of Internet vs. In-house payments per	The planned improvement will increase the productivity and	In FY06, there were 610,752 internet payments

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.				year.FY04: Internet payments: 390KFY04: Inhouse payments: 3M	efficiency of the fee collection process at the agency while using fewer FTE resources.	processed and 903,108 in house payments processed
2006	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system.FY04: 3M	The planned improvement will reduce software maintenance costs after the project is deployed.	RAM system maintenance costs in FY06 \$3,619,218
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY05: 5.69M	The planned improvement will reduce software maintenance costs after the project is deployed.	Through FY07, total maintenance costs 4.27M
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY05: 534,635	Anticipated 10% decrease in number of individual payments by a single customer each year.	In FY07, there were 2,328,757 individual transactions made online
2007	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Use of online payment options.	Current number of Internet vs. In-house payments per year. FY05: Internet Payments: 534,635; In-House Payments: 1,728,180	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	In FY07 there were 856,264 internet payment processed and 632, 765 inhouse payment processed
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Current RAM technologies	0% replacement in FY08 actuals	0
2009	2.2 Protect intellectual property and improve the patent and trademark	*	*	% increase customer use of the Financial Profile System	Actuals for FY08- 1,739 users	5% increase from FY08 actuals	Through Q3/FY09 there were 3,180 Financial Profile users

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.						
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Number of Financial Profile accounts	Increase the number of accounts by 5%	There were 447 initial users of FP on 4/30/08 (two weeks after deployment)
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Current number of Internet vs. In-house payments per year	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	Through Q3/FY07 there were 615,488 internet payments processed and 509,028 in-house payments processed. Final TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY08	5% increase from FY08 actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Received unqualified audit opinion for FY2008	Obtain unqualified financial statement audit incorporating new rules and training employees	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY09	5% replacement in FY08 actuals	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Will use actuals from FY10	5% increase from FY10 actuals	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY10	10% replacement in FY08 actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark	*	*	% replacement of outdated technology	Will use actuals from FY08	2% replacement in FY08 actuals	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.						
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY09	5% increase from FY09 actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Will use actuals from FY09	5% increase from FY09 actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY09	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY10	5% increase from FY10 actuals	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY10	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY11	5% increase from FY11 actuals	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY11	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD
2012	2.2 Protect intellectual	*	*	% increase customer use of	Will use actuals from FY11	5% increase from FY11	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	property and improve the patent and trademark system.			the Financial Profile System		actuals	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY11	30% replacement in FY08 actuals	TBD
2008	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Unqualified financial statement audit option	Obtain unqualified financial statement audit incorporating new rules and training employees	Clean Audit Opinion for Financial Stmts.
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY12	5% increase from FY12 actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Will use actuals from FY12	5% increase from FY12 actuals	TBD
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY13	100% replacement in FY08 actuals	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Will use actuals from FY14	5% increase from FY14 actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY12	50% replacement in FY08 actuals	TBD
2013	2.2 Protect intellectual property and improve the patent and trademark	*	*	Incorporate new accounting rules and train new federal and contract employees to	Will use actuals from FY12	Obtain unqualified financial statement audit incorporating new rules and	TBD

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.			maintain unqualified financial statement audit opinion		training employees	
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY13	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY14	5% increase from FY14 actuals	TBD
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase customer use of the Financial Profile System	Will use actuals from FY13	5% increase from FY13 actuals	TBD
2014	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% increase of online payment options.	Will use actuals from FY13	5% increase from FY13 actuals	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	% replacement of outdated technology	Will use actuals from FY14	100% replacement in FY09 actuals	TBD
2015	2.2 Protect intellectual property and improve the patent and trademark system.	*	*	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY14	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline

Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Operate and Maintain RAM Services - FY12	*	*	2011-10-01		2012-09-30		0.00%	0.00%
FY08 RAM Operation and Maintenance	\$0.5	\$0.5	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Incorporation of Pay.Gov	\$0.5	\$0.5	2008-01-30	2007-11-01	2008-06-30	2008-05-17	100.00%	100.00%
Operate and Maintain OFIS Services - FY14	*	*	2013-10-01		2014-09-29		0.00%	0.00%
Business Process Review for COTS	\$0.4	\$0.4	2008-06-16	2008-03-01	2008-11-30	2008-12-05	100.00%	100.00%
Operate and Maintain OFIS Services - FY11	*	*	2010-10-01		2011-09-29		0.00%	0.00%
Perfective Maintenance to Legacy Revenue Accounting & Management System	\$9.5	\$9.8	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
FY09 OFIS Operations and Maintenance	\$0.2	\$0.2	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Migrate to an Externally Hosted Environment and Enhance Modernized RAM	*	*	2014-10-01		2015-09-30		0.00%	0.00%
Operate and Maintain RAM Services - FY15	*	*	2014-10-01		2015-09-29		0.00%	0.00%
Adaptive and Corrective Maintenance to Legacy Revenue Accounting & Management System	\$31.7	\$27.0	1997-06-01	1997-06-01	2007-06-30	2007-06-30	100.00%	100.00%
Operate and Maintain OFIS Services - FY13	*	*	2012-10-01		2013-09-29		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Operate and Maintain RAM Services - FY10	\$1.6	\$1.7	2009-10-01	2009-10-01	2010-09-30		50.00%	75.00%
Operate and Maintain RAM Services - FY14	*	*	2013-10-01		2014-09-29		0.00%	0.00%
Perform Hardware Install & Momentum Upgrade	\$3.9	\$0.7	2009-09-15	2009-09-15	2010-11-30		38.00%	99.00%
Integration of Financial Profile Capability	\$1.2	\$1.2	2007-12-01	2007-12-01	2008-01-30	2008-01-30	100.00%	100.00%
Assessment and Study of Modernization	\$0.8	\$0.5	2007-04-01	2007-04-01	2007-09-30	2007-09-30	100.00%	100.00%
Perform PCAS Configuration & Data Conversion	*	*	2009-11-01		2012-09-30		0.00%	0.00%
Operate and Maintain OFIS Services - FY15	*	*	2014-10-01		2015-09-29		0.00%	0.00%
Operate and Maintain OFIS Services - FY12	*	*	2011-10-01		2012-09-29		0.00%	0.00%
Adaptive & Perfective Maint. to RAM (RAM 4.5) (Functionality, dates, and costs are estimates, completed prior to the documentation of detailed requirements and design and will be updated on approximately 02/27/09 when the documentation is completed)	\$2.8	\$1.0	2008-11-21	2008-10-01	2009-05-29	2009-05-29	100.00%	100.00%
Perform Program Planning for RAM Modernization	\$8.6	\$1.4	2009-05-12	2009-05-12	2012-09-30		33.00%	25.00%
Conceptualize, Define, and	*	*	2010-03-01		2012-05-29		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Design the User Interface and Integration Services								
Operate and Maintain RAM Services - FY13	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Implement Momentum Reports to EDW	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Implement User Interface and Integration Services	*	*	2012-08-01		2014-07-31		0.00%	0.00%
Operate and Maintain OFIS Services - FY10	\$0.1	\$0.1	2009-10-01	2009-10-01	2010-09-29		50.00%	75.00%
FY09 RAM Operations and Maintenance	\$2.1	\$1.4	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Operate and Maintain RAM Services - FY11	*	*	2013-08-31		2014-08-30		0.00%	0.00%

* - Indicates data is redacted.